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<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>		ATTORNEY'S DOCKET NUMBER <b>BHC 031067</b>
INTERNATIONAL APPLICATION NO. <b>PCT/EP2004/014871</b>	INTERNATIONAL FILING DATE <b>December 31, 2004 (12.31.2004)</b>	U.S. APPLICATION NO. (If known, see 37 CFR 1.5) <b>107586023</b>
PRIORITY DATE CLAIMED <b>January 14, 2004 (01.14.2004)</b>		
TITLE OF INVENTION <b>Tricyclic Benzazepine Derivatives and Their Use</b>		
APPLICANT(S) FOR DO/EO/US <b>Elisabeth WOLTERING, et al.</b>		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<p>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.</p> <p>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</p> <p>4. <input checked="" type="checkbox"/> The US has been elected (Article 31).</p> <p>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))           <ul style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ul> </p> <p>6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2))           <ul style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ul> </p> <p>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))           <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input checked="" type="checkbox"/> have not been made and will not be made.</li> </ul> </p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p>		
Items 11 to 20 below concern document(s) or information included:		
<p>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input checked="" type="checkbox"/> A preliminary amendment.</p> <p>14. <input checked="" type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</p> <p>15. <input type="checkbox"/> A substitute specification.</p> <p>16. <input type="checkbox"/> A power of attorney and/or change of address letter.</p> <p>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825.</p> <p>18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).</p> <p>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</p>		

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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U.S. APPLICATION NO. (Known, See 37 CFR 1.5) <b>107536023</b>		INTERNATIONAL APPLICATION NO. <b>PCT/EP2004/014871</b>		ATTORNEY'S DOCKET NUMBER <b>BHC 031067</b>																																																																																																									
20. Other items or information: 1) Certificate of Mailing under 37 C.F.R. 1.10 2) Copy of the International Search Report 3) Itemized Return Receipt Postcard																																																																																																													
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The fee is \$250 for each additional 50 sheets of paper or fraction thereof.</td> <td></td> <td></td> </tr> <tr> <td>Total Sheets</td> <td>Extra Sheets</td> <td>Number of each additional 50 or fraction thereof (round up to a whole number)</td> <td>RATE</td> <td></td> </tr> <tr> <td>128 - 100 =</td> <td>28 /50 =</td> <td>1</td> <td>x \$250</td> <td>\$ 250.00</td> </tr> <tr> <td colspan="2">Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).</td> <td></td> <td></td> <td></td> </tr> <tr> <td>CLAIMS</td> <td>NUMBER FILED</td> <td>NUMBER EXTRA</td> <td>RATE</td> <td>\$</td> </tr> <tr> <td>Total claims</td> <td>10 - 20 =</td> <td></td> <td>x \$ 50</td> <td>\$ 00.00</td> </tr> <tr> <td>Independent claims</td> <td>7 - 3 =</td> <td>4</td> <td>x \$200</td> <td>\$ 800.00</td> </tr> <tr> <td colspan="2">MULTIPLE DEPENDENT CLAIM(S) (if applicable)</td> <td>1</td> <td>+ \$360</td> <td>\$ 360.00</td> </tr> <tr> <td colspan="4"><b>TOTAL OF ABOVE CALCULATIONS =</b></td> <td><b>\$ 2,310.00</b></td> </tr> <tr> <td colspan="2"><input type="checkbox"/> Applicant claims small entity status. 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PTO-1390 (Rev. 07-2005)

Approved for use through 3/31/2007. OMB 0651-0021

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a.  A check in the amount of \$ \_\_\_\_\_ to cover the above fees is enclosed.

b.  Please charge my Deposit Account No. 13-3372 in the amount of \$ 2,310.00 to cover the above fees.  
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c.  The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 13-3372. A duplicate copy of this sheet is enclosed.

d.  Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO: **Customer No. 35969**

Jeffrey M. Greenman  
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West Haven, CT 06516

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Attorney's Docket No. BHC 031067

SAP20 Rec'd PCT/PTO 14 JUL 2006  
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Elisabeth WOLTERING, et al.

Serial No.: [to be assigned] National Stage Filing of PCT/EP2004/014871

Filed: herewith

For: Tricyclic Benzazepine Derivatives and Their Use

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CERTIFICATE OF MAILING UNDER 37 CFR 1.10

I hereby certify that the *attached* correspondence comprising:

- Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing under 35 U.S.C. 371 [IN DUPLICATE]
- Application Data Sheet under 37 C.F.R. 1.76
- Preliminary Amendment
- Copy of oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4))
- English Translation of the Application (35 U.S.C. 371(c)(2))
- Copy of the International Application as filed (35 U.S.C. 371(c)(2))
  
- Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98 consisting of:
  - 1) Transmittal of Information Disclosure Statement under 37 C.F.R. 1.97(b)(2)
  - 2) Form(s) PTO/SB/08A-B [substitute for form 1449/PTO] (37 C.F.R. 1.98(a)(b))
  - 3) Copies of Cited References (37 C.F.R. 1.98(d))
- Other:
  
- Itemized Return Receipt Post Card

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..... Signature of Person Certifying / Gil Cunha